

POLICY MI 5.1 DIVISION DOCUMENT DEVELOPMENT, MAINTENANCE AND DISSEMINATION

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- A. PURPOSE: To describe the development, maintenance and distribution of all ADHS Division documents designed to communicate behavioral health system requirements to Tribal and Regional Behavioral Health Authorities (T/RBHAs) and T/RBHA subcontracted providers.
- B. SCOPE: ADHS/DBHS and T/RBHAs.
- C. POLICY: ADHS/DBHS is responsible for ensuring that applicable requirements governing Arizona's public behavioral health system are articulated clearly and accurately to T/RBHAs and T/RBHA subcontracted providers.
- D. REFERENCES: AHCCCS/ADHS Contract  
ADHS/T/RBHA Contract  
42 CFR 431.10
- E. DEFINITIONS: ADHS Division Documents include policies, plans, manuals, standards and guidelines that collectively describe all behavioral health system requirements and expectations.
- ADHS/DBHS Medical Policies describe required clinical functions pertaining to the direct provision of behavioral health services. The ADHS/DBHS Medical Director designates all medical policies.
- ADHS/DBHS Policy Committee is the body responsible for the review and development of ADHS/DBHS policy. The ADHS/DBHS Policy Committee includes, at a minimum, the ADHS/DBHS Core Management Team and other representatives as necessary.
- F. GENERAL REQUIREMENTS
1. ADHS/DBHS shall:
    - a. Develop, maintain, post and distribute comprehensive policies.
    - b. Ensure T/RBHAs are provided copies of all applicable policies and provide prompt and accurate communication of any revisions to T/RBHAs.
    - c. Ensure that policies, including requirements, manuals or standards, contain

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detailed specifications for all operational, fiscal, program and administrative procedures applicable to the T/RBHAs.

- d. Submit all policies, including requirements, manuals or standards, pertaining to Title XIX and/or Title XXI members to AHCCCS for review and approval prior to implementation pursuant to 42 CFR 431.10.
- e. Maintain an updated crosswalk outlining all AHCCCS policy requirements and the ADHS/DBHS document that contains the policy description.

G. ADHS/DBHS Documents

ADHS/DBHS documents are published in various formats including, but not limited to, those listed below:

1. Contracts

- a. The ADHS/T/RBHA contracts are directed to each T/RBHA and articulate, or reference supporting ADHS/DBHS documents that describe, behavioral health system requirements. The ADHS/DBHS Core Management Team and Contract Compliance assume lead responsibility for developing and maintaining the ADHS/T/RBHA contracts.

2. Manuals and Guides

Examples include:

- a. The *ADHS/DBHS Policy and Procedures Manual* is directed to ADHS/DBHS and T/RBHAs and pertains to administrative and organizational requirements. The ADHS/DBHS Policy Office and Policy Committee assume lead responsibility for maintaining the *ADHS/DBHS Policy and Procedures Manual*.
- b. The *ADHS/DBHS Covered Behavioral Health Services Guide* is directed to ADHS/DBHS, T/RBHAs and T/RBHA subcontracted providers and describes covered behavioral health services, provider types, and covered services that allowable provider types may encounter. The ADHS/DBHS Policy Office, Office of Program Support and the Clinical Services Department share lead responsibility for maintaining the *ADHS/DBHS Covered Behavioral Health Services Guide*.

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- c. The *ADHS/DBHS Provider Manual* is directed to the T/RBHAs and T/RBHA subcontracted providers regarding requirements for the direct provision of behavioral health services. The ADHS/DBHS Policy Office and Policy Committee assume lead responsibility for developing and maintaining the *ADHS/DBHS Provider Manual*.
- d. The *ADHS/DBHS Financial Reporting Guide for Regional Behavioral Health Authorities* is directed to ADHS/DBHS and T/RBHAs and ensures that financial resources are managed appropriately and identifies financial reporting requirements for T/RBHAs. The Bureau of Financial Operations develops and maintains the *ADHS/DBHS Financial Reporting Guide for Regional Behavioral Health Authorities*.

3. Clinical Guidance Documents

Clinical guidance documents provide guidance to ADHS/DBHS, T/RBHAs and T/RBHA subcontracted providers by identifying best practices and endorsing specific approaches when providing behavioral health services. Clinical guidance documents are the lead responsibility of the ADHS/DBHS Medical Director's Office and Policy Office. ADHS/DBHS endorses or publishes three types of clinical guidance documents.

- a. Clinical Practice Guidelines are national guidelines (e.g., American Psychiatric Association) pertaining to specific behavioral health conditions that help ensure appropriate clinical practice and positive outcomes.
- b. Practice Improvement Protocols (PIPs) outline philosophical approaches and guidelines that promote specific practices that result in the efficient and effective delivery of behavioral health services.
- c. Technical Assistance Documents (TADs) provide guidance for implementing covered behavioral health services and other ADHS/DBHS recommended protocols.

4. Plans

Examples include:

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- a. The *ADHS/DBHS Quality Management/Utilization Management (QM/UM) Plan* describes the ADHS/DBHS QM/UM structure, process and quality improvement initiatives. The QM/UM Plan is directed to ADHS/DBHS and the T/RBHAs and ensures that information and data are utilized to improve behavioral health system performance. The ADHS/DBHS Bureau of Quality Management and the ADHS/DBHS Medical Director assume lead responsibility for developing and maintaining the *ADHS/DBHS QM/UM Plan*.
- b. The *ADHS/DBHS Cultural Competency Plan* is directed to ADHS/DBHS and T/RBHAs and identifies and promotes practices that recognize and accommodate the cultural needs of members. The ADHS/DBHS Bureau for Clinical Services has lead responsibility for developing and maintaining the *ADHS/DBHS Cultural Competency Plan*.
- c. The *ADHS/DBHS Strategic Plan* is directed to ADHS/DBHS and includes an organized, measurable and accountable approach to accomplishing identified organizational goals related to ADHS/DBHS core business practices. The ADHS/DBHS Core Management Team and Contract Compliance are assigned lead responsibility for developing and maintaining the *ADHS/DBHS Strategic Plan*.
- d. The *ADHS/DBHS Provider Network Development and Management Plan* outlines the process to identify and enhance the capacity of the T/RBHA's behavioral health provider networks. The ADHS/DBHS Bureau of Clinical Services has lead responsibility for developing and maintaining the *ADHS/DBHS Provider Network Development and Management Plan*.
- e. The *ADHS/DBHS Business Continuity and Recovery Plan* describes steps to ensure the continuance of clinical information systems and financial business functions in the event of a disaster. Contract Compliance is assigned lead responsibility for developing and maintaining the *ADHS/DBHS Business Continuity and Recovery Plan*.

5 Internal ADHS/DBHS Desktop Protocols

ADHS/DBHS internal desktop protocols are designed to describe specific implementation steps to assist in performing an assigned departmental function. Internal desktop protocols are directed to and are the responsibility of the individual ADHS/DBHS department responsible for the identified task or

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activity.

H. Development and Revision of ADHS/DBHS Documents

1. *ADHS/DBHS Policy and Procedures Manual* and the *ADHS/DBHS Provider Manual*

a. Timeframes

All medical policies are reviewed annually by the ADHS/DBHS Medical Director or designee. ADHS/DBHS operational, fiscal, program and administrative policies are reviewed every two years or more frequently based on new requirements or changes to existing requirements.

b. Process for development and revision of policy content for the *ADHS/DBHS Policy and Procedures Manual* and the *ADHS/DBHS Provider Manual*:

- (1) Identify the policy content area;
- (2) Conduct research and gather necessary background information;
- (3) Secure feedback and recommendations from experts;
- (4) Review policy and solicit recommendations via ADHS/DBHS Policy Committee;
- (5) Distribute draft policy to external stakeholders and solicit any comments;
- (6) Review external stakeholder comments with ADHS/DBHS Policy Committee;
- (7) Forward draft policy to AHCCCS for approval;
- (8) Secure appropriate signatures, if applicable;
- (9) Develop and implement policy training, as necessary; and
- (10) As applicable, T/RBHAs will add geographic service area (GSA) specific information to content areas within the *ADHS/DBHS Provider Manual*.

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2. All Other ADHS/DBHS Documents (excluding the *ADHS/DBHS Policy and Procedures Manual* and the *ADHS/DBHS Provider Manual*)

a. Timeframes

All other ADHS/DBHS documents are reviewed and updated as necessary but at least every two years by the ADHS/DBHS Department that assumes lead responsibility for the document. Each document will include information regarding the date of the last review.

b. Process for development and revision of content for all other ADHS/DBHS documents:

- (1) Identify the content area;
- (2) Conduct research and gather necessary background information;
- (3) Secure feedback and recommendations from experts;
- (4) Review content and solicit recommendations from applicable internal staff and external stakeholders; and
- (5) If an AHCCCS required policy content area, process or business practice that pertains to Title XIX or Title XXI eligible persons, forward to AHCCCS for approval.

I. Posting and Distribution of ADHS Division Documents

1. ADHS Division documents are distributed to the T/RBHAs when new documents are developed and when current documents are revised.
2. The T/RBHAs shall ensure that all applicable documents are distributed and available to all T/RBHA subcontracted providers including the prompt and accurate communication of applicable ADHS/DBHS Division document revisions.
3. The *ADHS/DBHS Policy and Procedures Manual* and the *ADHS/DBHS Provider Manual* are posted on the ADHS/DBHS Website.

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4. The ADHS/DBHS web based edition of the policy and procedures manual and the provider manual are updated when new policies are developed and when current policies are revised. Tribal RBHAs will receive prompt notification of all changes pertaining to policies posted on the ADHS/DBHS Website.
5. The RBHAs shall post the most current GSA specific version of the *ADHS/DBHS Provider Manual* on the RBHA Website. RBHAs shall ensure prompt notification to subcontracted providers of all changes posted on the RBHA Website. The RBHAs must ensure that hard copy GSA specific versions of the ADHS/DBHS Provider Manual are distributed to contracted providers that do not have internet access.
6. Tribal RBHAs are not required to post the GSA specific version of the ADHS/DBHS Provider Manual on a website. However, Tribal RBHAs must ensure that current and updated GSA specific versions of the ADHS/DBHS Provider Manual are distributed to all contracted providers.

J. APPROVED BY:

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